



PATENT
Attorney Docket No. MIT-132

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Chen et al.
SERIAL NO.: 10/037,661 GROUP NO.: 2878
FILING DATE: January 4, 2002 EXAMINER: Not yet assigned
TITLE: Vacuum Electron Device With a Photonic Bandgap Structure and
Method of Use Thereof

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

FIRST SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE)

- ☐ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☒ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☒ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

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- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

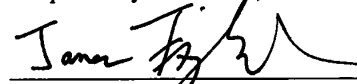
- ☒ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Date: November 21, 2003
Reg. No. 54,089

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Respectfully submitted,



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SHEET 1 OF 1

FORM PTO - 1449				ATTORNEY DOCKET NO.: MIT-132					
FIRST SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT				APPLICANT(S): Chen et al.					
				SERIAL NO.: 10/037,661					
				FILING DATE: January 4, 2002 GROUP: 2878					
U.S. PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C16	Patent Cooperation Treaty (PCT) International Search Report; International application No. PCT/US02/18750; mailed October 29, 2003.							
	C17	Shapiro, M. A. et al., "17 GHz photonic band gap cavity with improved input coupling," Physical Review Special Topics – Acceleration and Beams, 4, 2001, pp. 042001/1-042001/6.							
	C18	Smirnova, E. I. et al., "Simulation of photonic band gaps in metal rod lattices for microwave applications," Journal of Applied Physics, 91, number 3, February 1, 2002, pp. 960-968.							
EXAMINER					DATE CONSIDERED				

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